



Attorney Docket No.: 15162/03060

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re

U.S. Application of: Koujirou SEKINE, Mitsuru YOKOYAMA,  
Miyuki TERAMOTO, Kyu TAKADA, Takuji  
HATANO, Shinji MARUYAMA, and Tsuyoshi  
IWAMOTO

For: OPTICAL FUNCTIONAL DEVICE AND OPTICAL  
INTEGRATED DEVICE

U.S. Serial No. 09/765,229

Filed: January 18, 2001

Group Art Unit: 2881

Examiner: To Be Assigned

Assistant Director  
for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Director for Patents, Washington, DC 20231, on

**MAY 8, 2001**

Date of Deposit

**JAMES W. WILLIAMS**

Name of Applicant, Assignee, or Registered Representative

*James W. Williams*

Signature

**MAY 8, 2001**

Date of Signature

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

In compliance with the duty of disclosure set forth in 37 C.F.R. § 1.56, Applicants wish to bring the following items to the attention of the Examiner. Copies of the items are enclosed for the convenience of the Examiner.

No representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of this material in any way reflects its relative pertinence. The references cited below are not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that the items listed below are properly citable against the above-identified application.

Serial No. 09/765,229

The following document is cited in the specification of the above-identified patent application:

- (1) "Guided-Wave Acoustooptic Bragg Modulators for Wide-Band Integrated Optic Communications and Signal Processing", Chen S. Tsai, IEEE Transactions on Circuits and Systems, Volume CAS-26, No. 12, December 1979, pages 1072-1098.

Applicants also wish to bring the following documents to the attention of the Examiner:

- (2) "Inhibited Spontaneous Emission in Solid-State Physics and Electronics", Eli Yablonovitch, Physical Review Letters, Volume 58, No. 20, May 18, 1987, pages 2059-2062; and
- (3) "Existence of a Photonic Gap in Periodic Dielectric Structures", K.M. Ho, C.T. Chan, and C.M. Soukoulis, Physical Review Letters, Volume 65, No. 25, December 17, 1990, pages 3152-3155.

Applicants consider the invention to be distinguishable over the above-cited documents.

As this Information Disclosure Statement is being filed within three months of the filing date or before the mailing date of a first Office Action on the merits, whichever occurs last, no fee is required. If it should be determined that a fee is required, please charge any required fee (other than the issue fee ) during the pendency of this application to Sidley Austin Brown & Wood's Deposit Account No. 18-1260.

Serial No. 09/765,229

Respectfully submitted,



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James W. Williams  
Registration No. 20,047  
Attorney for Applicants

JWW/mhg  
SIDLEY AUSTIN BROWN & WOOD  
717 North Harwood  
Suite 3400  
Dallas, Texas 75201-6507  
(214) 981-3328 (direct)  
(214) 981-3300 (main)  
May 8, 2001